

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#3

Applicant: Robert A. Foster  
Assignee: Financial Systems Technology Pty. Ltd.  
Title: A System And Method For Real-Time Pricing  
With Volume Discounting  
Serial No.: 09/785,783 Filing Date: February 16, 2001  
Examiner: Unknown Group Art Unit: Unknown  
Docket No.: M-9381 US

Newport Beach, California  
December 27, 2001

Box Missing Parts  
COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

RESPONSE TO NOTICE TO FILE CORRECTED APPLICATION PAPERS  
FILING DATE GRANTED

Dear Sir:

In response to the "Notice to File Corrected Application Papers - Filing Date Granted" mailed by the United States Patent and Trademark Office on November 5, 2001, the following items are enclosed to complete the filing of the above-identified patent application:

1. Two identical replacement compact discs (CD-R) in IBM-PC format and compatible with MS-Windows.
2. A listing which includes the names, sizes in bytes, and dates of creation of the files on the compact discs.
3. A copy of Pages 1-28 of the Specification as filed showing the computer sequence listing.
4. Copy of Notice to File Corrected Application Papers- Filing Date Granted.

The enclosed replacement compact discs contain no new matter.

LAW OFFICES OF  
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MacPHERSON LLP  
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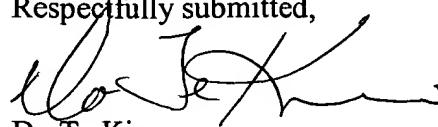
• The Commissioner is hereby authorized to charge any fees which may be required to  
Deposit Account No. 19-2386.

It is hereby respectfully submitted that the enclosed items complete the filing of the  
above patent application and justify the filing date of February 16, 2001.

Please telephone the undersigned at (949) 718-5200, if there are any questions. This  
form is being submitted in duplicate.

EXPRESS MAIL LABEL NO:  
EV 004 869 741 US

Respectfully submitted,

  
Do Te Kim  
Attorney for Applicants  
Reg. No. 46,231

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Docket No.: M-9381 US

December 27, 2001

Box Missing Parts  
Commissioner For Patents  
Washington, D.C. 20231

Re: Applicant(s): Foster, Robert A.  
Assignee: Financial Systems Technology Pty. Ltd.  
Title: A System And Method For Real-Time Pricing With Volume  
Discounting  
Serial No.: 09/785,783  
Examiner: Unknown Filed: February 16, 2001  
Docket No.: M-9381 US Group Art Unit: Unknown

Dear Sir:

Transmitted herewith are the following documents in the above-identified application:

- (1) Return Receipt Postcard;
- (2) This Transmittal Letter (in duplicate);
- (3) Response to Notice to File Corrected Application Papers;
- (4) Two identical replacement compact discs (CD-R) in IBM-PC format and compatible with MS-Windows;
- (5) A listing which includes the names, sizes in bytes, and dates of creation of the files on the compact discs;
- (6) A copy of Pages 1-28 of the Specification as filed showing the computer sequence listing;
- (7) Copy of Notice to File Corrected Application Papers.



No additional fee is required.



The fee has been calculated as shown below:

**CLAIMS AS AMENDED**

			Highest No.								
	Claims Remaining <u>After Amendment</u>		Previously <u>Paid For</u>		Present <u>Extra</u>		Rate				<u>Additional Fee</u>
Total Claims	38	Minus	38	=	0	x	\$18.00	\$			0.00
Independent Claims	3	Minus	3	=	0	x	\$84.00	\$			0.00

**Total additional fee for this Amendment:** \$ 0.00

Conditional Petition for Extension of Time: If an extension of time is required for timely filing of the enclosed document(s) after all papers filed with this transmittal have been considered, an extension of time is hereby requested.

Please charge our Deposit Account No. 19-2386 in the amount of \$ 0.00

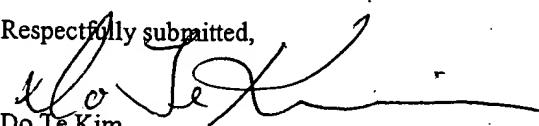
Also, charge any additional fees required and credit any overpayment to our Deposit Account No. 19-2386.

Total: \$ 0.00

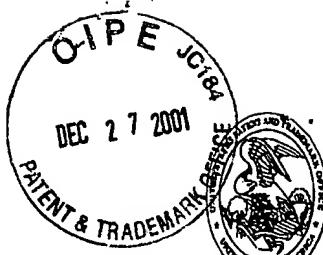
Express Mail Label No.:

EV 004869 741 US

Respectfully submitted,

  
Do Te Kim

Attorney for Applicant(s)  
Reg. No. 46,231



# UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/785,783	02/16/2001	Robert A. Foster	M-9381 US

## CONFIRMATION NO. 3408

### FORMALITIES LETTER



\*OC00000007018001\*

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San Jose, CA 95110-1349

Date Mailed: 11/05/2001

## NOTICE TO FILE CORRECTED APPLICATION PAPERS

### *Filing Date Granted*

This application has been accorded an Application Number and Filing Date. The application, however, is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given **TWO MONTHS** from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a)

The required item(s) identified below must be timely submitted to avoid abandonment:

- The compact disc(s) submitted fail to comply with 37 CFR 1.52(e) in that only Compact Disc-Read Only Memory (CD-ROM) or a Compact Disc-Recordable (CD-R) media are permitted. A new duplicate copy of each compact disc must be provided on CD-ROM or CD-R media. Any replacement compact discs submitted should be accompanied by a certification as required by 37 CFR 1.52(e) that each disc of a duplicate set is identical to the other disc of the set.

*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center  
Initial Patent Examination Division (703) 308-1202